



**CalPERS Placement Agent Information Disclosure Form –  
Proposed and New Investments**

**(To Be Utilized For Proposed and New Investment Agreements)**

**Revised August 12, 2010**

This form facilitates the disclosures and contractual obligations required by 2 Cal. Code Regs. Section 559 -- Disclosure of Placement Agent Fees, Gifts and Campaign Contributions ("Policy").

**This form is to be used only for proposed and new investment agreements.**

**Please refer to 2 Cal. Code Regs. Section 559 prior to completing this form.**

Name of new or proposed investment agreement with CalPERS: \_\_\_\_\_

Firm Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone No: \_\_\_\_\_

Name of CalPERS Contact (if applicable): \_\_\_\_\_

Have you, your firm or your firm's principals, employees, agents, or affiliates compensated or agreed to compensate, directly or indirectly, any person (whether or not employed by you) or any entity to act as a Placement Agent in connection with the offer of assets, securities, or services to ~~Investment or the Contract~~ by CalPERS or a CalPERS Vehicle? (§559 (b)1.a.)

☐ Yes. ☐ No.

**If you checked Yes, please continue completing the rest of the Form and provide your signature at the end of the Form.**

**If you checked No, please skip the rest of the Form and provide your signature at the end of the Form.**

Please list the names and relationships for each officer, partner, or principal of the Placement Agent (and any employee providing similar services), in connection with the investment by CalPERS, and attach a resume for each of them detailing each person's (i) education, (ii) professional designations, (iii) regulatory licenses and (iv) investment and work experience. Please check the box if any person listed is a current or former CalPERS Board member, employee, or Consultant, or a member of the immediately family of any such person. When an entity is retained as a Placement Agent, please include the requested information for any officer, director, or employee actively providing placement agent services with regard to CalPERS or receiving more than 15% of the placement agent fees. (§559 (b)1.b.)

	Name	Relationship
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		
<input type="checkbox"/>		

☐ Please attach a written copy of any and all agreements between you and the Placement Agent related to the assets, securities, or services offered to CalPERS and check the box to confirm that the agreements have been attached.  
(Policy §559 (b)1.e.) (NOTE: A summary of this agreement is not acceptable.)

Provide a description of any and all compensation of any kind provided or agreed to be provided to a Placement Agent related to the assets, securities, or services offered to CalPERS, including the nature, timing and value thereof. (§559 (b)1.c.) (NOTE: Please provide a dollar amount specifically allocable to the CalPERS Investment. If a specific dollar amount is not available, please provide an estimate and note it as such.)

\_\_\_\_\_

Describe the services to be performed by the Placement Agent, including whether the Placement Agent is utilized by you for all prospective clients or only a subset of your prospective clients. (§559(b)1.d.)

\_\_\_\_\_

Please list the names of any current or former CalPERS Board members, employees, or Consultants who suggested or otherwise assisted in the retention of the the use of the Placement Agent(s) noted above. (§559(b)1.f.)

\_\_\_\_\_

☐ Please check the box indicating whether the Placement Agent or any affiliates is registered with the SEC or FINRA or CFTC. Also check the box indicating whether the Placement Agent or any of its affiliates (located and operating outside of the United States and interacting exclusively with CalPERS Vehicles formed and operated outside of the United States) is registered with a recognized non-U.S. financial regulatory authority. Provide the details of such registrations (U.S. and/or recognized non-U.S.) below. Please list exactly what entities or ~~principals~~ individuals are registered. (§559(b)1.g.)

\_\_\_\_\_

☐ Please check the box indicating whether the Placement Agent or any of its affiliates is registered as a lobbyist with any state or federal government. If so, provide the names of those registered along with the jurisdiction in which they are registered. (§559(b)1.h.)

\_\_\_\_\_

By executing this form the undersigned represents and warrants that the information set forth herein is true and correct. Until there is a final written agreement between the undersigned and CalPERS or discussions regarding a prospective agreement have terminated, the undersigned agrees to update this information within 14 calendar days of the date the External Manager knew or reasonably should have known of any changes to this information any changes.

The Placement Agent Information Disclosure and their attachments shall be public record subject to disclosure under the California Public Records Act. No confidentiality restrictions shall be placed by the External Manager or the Placement Agent on any information provided pursuant to this policy. (§559(i))

The undersigned represents and agrees that it shall make a representation and warranty as to the continuing accuracy of this information in any final written agreement between it and CalPERS. The undersigned also agrees that any final written agreement between the undersigned and CalPERS and any Amendment to the final written agreement will contain the provisions set forth in §559(d)4. (§559(b)2.)

The execution and delivery of this form has been authorized by all necessary action by the undersigned.

Name of Firm: \_\_\_\_\_

\_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_

\_\_\_\_\_  
Date: \_\_\_\_\_

